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PTO/SB/21 (6-98)  
Approved for use through 09/30/2000. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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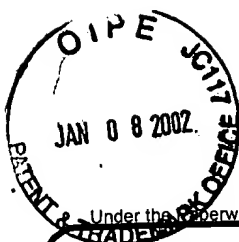
|  |                        |                     |
|--|------------------------|---------------------|
| <b>TRANSMITTAL FORM</b><br><i>(to be used for all correspondence after initial filing)</i> | Application Number     | 09/927,432          |
|  | Application Date       | 8/10/2001           |
|  | First Named Inventor   | Robert G. McCracken |
|  | Group Art Unit         |                     |
|  | Examiner Name          |                     |
| Total Number of Pages in This Submission   | Attorney Docket Number | 8594560/77800       |

| ENCLOSURES (check all that apply)   |   |   |
|---|---|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form                                | <input type="checkbox"/> Assignment Papers (for an Application)                         | <input type="checkbox"/> After Allowance Communication to Group   |
| <input checked="" type="checkbox"/> Fee Attached  | <input type="checkbox"/> Drawing(s)   | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences   |
| <input type="checkbox"/> Amendment / Response   | <input type="checkbox"/> Licensing-related Papers                                       | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  |
| <input type="checkbox"/> After Final  | <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition    | <input type="checkbox"/> Proprietary Information  |
| <input type="checkbox"/> Affidavits/declaration(s)                                      | <input type="checkbox"/> Petition to Convert to a Provisional Application               | <input type="checkbox"/> Status Letter  |
| <input type="checkbox"/> Extension of Time Request                                      | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input type="checkbox"/> Additional Enclosure(s) (please identify below):   |
| <input type="checkbox"/> Express Abandonment Request                                    | <input type="checkbox"/> Terminal Disclaimer  | postcard  |
| <input type="checkbox"/> Information Disclosure Statement                               | <input type="checkbox"/> Small Entity Statement   |   |
| <input type="checkbox"/> Certified Copy of Priority Document(s)                         | <input type="checkbox"/> Request for Refund   |   |
| <input type="checkbox"/> Response to Missing Parts/Incomplete Application               | Remarks   | Deposit Account Authorization: In the event no specific fee has been authorized above or if a check is detached or misplaced, the Commissioner is authorized to charge the TOTAL DUE to our deposit account No. 12-2250. Any adjustment in the TOTAL DUE should be made to our deposit account No. 12-2250. |
| <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 |   |   |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT |  |
|--|--|
| Firm or Individual name                    | Kent A. Herink, Esq., Davis, Brown, Koehn, Shors & Roberts, P.C. |
| Signature                                  |  |
| Date                                       | November 16, 2001  |

| CERTIFICATE OF MAILING   |                       |      |                   |
|--|-----------------------|------|-------------------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date <u>November 16, 2001</u> |                       |      |                   |
| Typed or printed name  | Christine A. Hamilton |      |                   |
| Signature  |                       | Date | November 16, 2001 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 840.00

## Complete if Known

|                      |                     |
|----------------------|---------------------|
| Application Number   | 09/927,432          |
| Filing Date          | 8/10/2001           |
| First Named Inventor | Robert G. McCracken |
| Examiner Name        |                     |
| Group Art Unit       |                     |
| Attorney Docket No.  | 8594560/77800       |

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

12-2250

Deposit  
Account  
Name

Davis, Brown Law Firm

- ☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17

- ☐ Applicant claims small entity status.  
See 37 CFR 1.27

2. ☒ Payment Enclosed:

- ☒ Check ☐ Credit card ☐ Money  
Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Small Entity

| Fee<br>Code | Fee<br>(\$) | Fee<br>Code | Fee<br>(\$) | Fee Description |
|-------------|-------------|-------------|-------------|-----------------|
|-------------|-------------|-------------|-------------|-----------------|

|     |     |     |     |                        |
|-----|-----|-----|-----|------------------------|
| 101 | 710 | 201 | 355 | Utility filing fee     |
| 106 | 320 | 206 | 160 | Design filing fee      |
| 107 | 490 | 207 | 245 | Plant filing fee       |
| 108 | 710 | 208 | 355 | Reissue filing fee     |
| 114 | 150 | 214 | 75  | Provisional filing fee |

Fee Paid

710.00

SUBTOTAL (1) (\$ 710.00

### 2. EXTRA CLAIM FEES

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| Independent        | -20** =      | X              | =        |
| Multiple Dependent | - 3** =      | X              | =        |

Large Entity Small Entity

| Fee<br>Code | Fee<br>(\$) | Fee<br>Code | Fee<br>(\$) | Fee Description |
|-------------|-------------|-------------|-------------|-----------------|
|-------------|-------------|-------------|-------------|-----------------|

|     |     |     |     |  |
|-----|-----|-----|-----|--|
| 103 | 18  | 203 | 9   | Claims in excess of 20                                     |
| 102 | 80  | 202 | 40  | Independent claims in excess of 3                          |
| 104 | 270 | 204 | 135 | Multiple dependent claim, if not paid                      |
| 109 | 80  | 209 | 40  | ** Reissue independent claims over original patent         |
| 110 | 18  | 210 | 9   | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$

\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Small Entity

| Fee<br>Code                           | Fee<br>(\$) | Fee<br>Code | Fee<br>(\$) | Fee Description  | Fee Paid |
|---------------------------------------|-------------|-------------|-------------|--|----------|
| 105                                   | 130         | 205         | 65          | Surcharge - late filing fee or oath  |          |
| 127                                   | 50          | 227         | 25          | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139                                   | 130         | 139         | 130         | Non-English specification  |          |
| 147                                   | 2,520       | 147         | 2,520       | For filing a request for ex parte reexamination                            |          |
| 112                                   | 920*        | 112         | 920*        | Requesting publication of SIR prior to Examiner action                     |          |
| 113                                   | 1,840*      | 113         | 1,840*      | Requesting publication of SIR after Examiner action                        |          |
| 115                                   | 110         | 215         | 55          | Extension for reply within first month                                     |          |
| 116                                   | 390         | 216         | 195         | Extension for reply within second month                                    |          |
| 117                                   | 890         | 217         | 445         | Extension for reply within third month                                     |          |
| 118                                   | 1,390       | 218         | 695         | Extension for reply within fourth month                                    |          |
| 128                                   | 1,890       | 228         | 945         | Extension for reply within fifth month                                     |          |
| 119                                   | 310         | 219         | 155         | Notice of Appeal   |          |
| 120                                   | 310         | 220         | 155         | Filing a brief in support of an appeal                                     |          |
| 121                                   | 270         | 221         | 135         | Request for oral hearing   |          |
| 138                                   | 1,510       | 138         | 1,510       | Petition to institute a public use proceeding                              |          |
| 140                                   | 110         | 240         | 55          | Petition to revive - unavoidable   |          |
| 141                                   | 1,240       | 241         | 620         | Petition to revive - unintentional   |          |
| 142                                   | 1,240       | 242         | 620         | Utility issue fee (or reissue)   |          |
| 143                                   | 440         | 243         | 220         | Design issue fee   |          |
| 144                                   | 600         | 244         | 300         | Plant issue fee  |          |
| 122                                   | 130         | 122         | 130         | Petitions to the Commissioner  |          |
| 123                                   | 50          | 123         | 50          | Petitions related to provisional applications                              |          |
| 126                                   | 240         | 126         | 240         | Submission of Information Disclosure Stmt                                  |          |
| 581                                   | 40          | 581         | 40          | Recording each patent assignment per property (times number of properties) |          |
| 146                                   | 710         | 246         | 355         | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149                                   | 710         | 249         | 355         | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179                                   | 710         | 279         | 355         | Request for Continued Examination (RCE)                                    |          |
| 169                                   | 900         | 169         | 900         | Request for expedited examination of a design application                  |          |
| Other fee (specify) Missing Parts Fee |             |             |             |  | \$130    |

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 130.00

## SUBMITTED BY

|                   |                      |                                      |                   |           |              |
|-------------------|----------------------|--------------------------------------|-------------------|-----------|--------------|
| Name (Print/Type) | Kent A. Herink, Esq. | Registration No.<br>(Attorney/Agent) | 31,025            | Telephone | 515-288-2500 |
| Signature         |                      | Date                                 | November 16, 2001 |           |              |

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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/927,432         | 08/10/2001          | Robert G. McCracken   | 8594560/77800          |

26386

DAVIS, BROWN, KOEHN, SHORR & ROBERTS, P.C.  
THE FINANCIAL CENTER  
666 WALNUT STREET  
SUITE 2500  
DES MOINES, IA 50309-3993

CONFIRMATION NO. 6408

## FORMALITIES LETTER



\*OC00000006562652\*

Date Mailed: 09/17/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 840.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

01/14/2002 AWONDAF1 00000019 122250 09927432

01 FC:101 740.00 OP  
02 FC:105 30.00 CH 100.00 OP

*A copy of this notice **MUST** be returned with the reply.*



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Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE